



Attorney Docket No. M000-P02003US

2124 \$  
CL  
#23

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Mahne

Application No.: 09/259,991

Appl'n No.

Bar Code:



Filed: 03/10/1999

For: Transparent Encryption and  
Decryption with Algorithm Independent  
Cryptographic Engine that Allows for  
Containerization of Encrypted Files

Art Unit: 2134

Examiner: Smithers

**RECEIVED**

JUL 09 2003

Technology Center 2100

Commissioner for Patents  
Washington, D.C. 20231

**Information Disclosure Statement**

Dear Sir:

**General Matters**

<input checked="" type="checkbox"/>	Copies of the references listed on the attached form PTO/SB/08A are enclosed.
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**This Information Disclosure Statement is being filed under:**

<input checked="" type="checkbox"/>	37 CFR 1.97(c)	Before the mailing date of any of a final action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application. This IDS is accompanied by one of:
		(1) The statement specified in § 1.97(e); or
<input checked="" type="checkbox"/>		(2) The fee set forth in § 1.17(p).

**Deposit Account Authorization**

07/09/2003 09:20:00 00000000 00000000

01 FC:1608

100.00 00

Please apply any charges or credits to Deposit Account No. 501524.

Respectfully submitted,

Date: July 2, 2003



Steven C. Sereboff, Reg. No. 37,035

SoCal IP Law Group  
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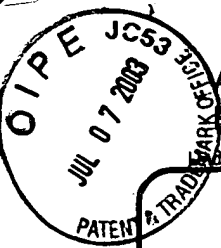
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I hereby certify that this correspondence is being deposited with the United States Postal Service as priority mail in a box addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date set forth below.

By: \_\_\_\_\_

Steven C. Sereboff

Dated: July 3, 2003



App. Number  
Bar Code



Approved for use through 04/30/2003. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
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2134 \$ CC

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 180.00

Complete if Known

Application Number	09/259,991	RECEIVED
Filing Date	03-10-1999	JUL 09 2003
First Named Inventor	Mahne	
Examiner Name	Smithers	Technology Center 2100
Art Unit	2134	
Attorney Docket No.	M000-P02003	

## METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: 501524

Deposit Account Name: SCal IP Law Group

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ )

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims:  - 20\*\* =  X  =

Independent Claims:  - 3\*\* =  X  =

Multiple Dependent:  =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	84	2201	42	Independent claims in excess of 3	
1203	280	2203	140	Multiple dependent claim, if not paid	
1204	84	2204	42	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$ )

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 180.00

## SUBMITTED BY

Name (Print/Type)	Steven C. Seraboff	Registration No. (Attorney/Agent)	37,035	Telephone	805-230-1350
Signature		Date	July 2, 2003		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.

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PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitution for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				<b>Application Number</b>	09/259.991
				<b>Filing Date</b>	03/01/1999
				<b>First Named Inventor</b>	Mahne
				<b>Art Unit</b>	2134
				<b>Examiner Name</b>	Smithers
				<b>Attorney Docket Number</b>	M000-P02003US
Sheet	3	of	6		

U.S. PATENT DOCUMENTS					
Examiner Initials <sup>2</sup>	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US- 5,224,166		Hartmann, Jr.	
		US- 4,633,036	12/30/1986	Hellmann, et al.	
		US- 4,924,378		Hershey, et al.	
		US- 5,243,518	09/07/1993	Holt, et al.	
		US- 5,435,883		Hoskinson	
		US- 5,333,198		Houlberg	
		US- 5,584,023		Hsu	
		US- 5,263,157	11/16/1993	Janis	
		US- 5,175,852		Johnson, et al.	
		US- 5,289,540		Jones	
		US- 5,490,100		Kableskhov	
		US- 5,584,022		Kikuchi, et al.	
		US- 5,291,405		Kohari	
		US- 5,479,514		Klonowski	
		US- 5,483,649		Kutnetsov	
		US- 5,596,745		Lai, et al.	
		US- 4,551,810	11/05/1985	Levine	
		US- 5,600,831	02/04/1997	Levy, et al.	
		US- 5,495,533	02/27/1996	Linehan, et al.	
		US- 4,893,340	10/01/1990	Lubensky, et al.	

[illegible]

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

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Substitution for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				<b>Application Number</b>	Cooper
				<b>Filing Date</b>	03/01/1999
				<b>First Named Inventor</b>	Mahne
				<b>Art Unit</b>	2134
				<b>Examiner Name</b>	Smithers
				<b>Attorney Docket Number</b>	M000-P02003US
Sheet	5	of	6		

U.S. PATENT DOCUMENTS					
Examiner Initials <sup>2</sup>	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US- 4,807,287	02/21/1989	Tucker, et al.	
		US- 5,404,624		Tulpan	
		US- 4,591,975	05/27/1986	Wade, et al.	
		US- 4,453,074	06/05/1984	Weinstein	
		US- 4,573,119	02/25/1986	Westheimer, et al.	
		US- 5,410,693	04/25/1995	Yu, et al.	
		US- 6,185,681	02/06/2001	Zizzi	
		US- 5,005,174		Bruckert	
		US- 4,633,430	12/30/1986	Cooper, et al.	
		US- 4,205,166	5-13-1980	Ehram, et al.	
		US- 5,666,490		Gillings	
		US- 5,343,525		Hung	
		US- 5,347,559		Hawkins	
		US- 5,699,428		McDonnal, et al.	
		US- 6,025,506		Ote	
		US- 5,276,859		Reede	
		US- 6,154,480		Pebley	
		US- 5,778,072		Samar	
		US- 5,987,123		Scott	
		US- 5,410,598		Shear	

[illegible]

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

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Substitute for form 1449A/PTO		<b>Complete if Known</b>			
		Application Number	Cooper		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Filing Date	03/01/1999		
		First Named Inventor	Mahne		
		Art Unit	2134		
		Examiner Name	Smithers		
Sheet	6	of	6	Attorney Docket Number	M000-P02003US

U.S. PATENT DOCUMENTS					
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		Number - Kind Code <sup>2</sup> (if known)			
		US- 5,263,147		Fransisco	
		US- 4,956,769		Smith	
		US- 5,163,138		Thirumalai	
		US- 6,378,071		Sasaki	
		US- 6,192,742		Garay	
		US- 6,134,659		Sprong	
		US- 6,105,133		Fielder	
		US- 5,940,507		Cane	
		US- 5,787,169		Eldridge	
		US- 5,721,177		Blaze	
		US- 5,657,470		Fisherman	
		US- 4,757,533		Allen	
		US- 5,185,877		Bissett	
		US-			
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				

Examiner Signature	Date Considered
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